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PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/888,212	
		Filing Date	June 22, 2001	
		First Named Inventor	Kwok Hung Si	
		Group Art Unit Number	2182	
		Examiner Name	Not Yet Known	
Total Number of Pages in This Submission		18	Attorney Docket Number	20880-05629

ENCLOSURES (check all that apply)

- | | |
|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)
<input checked="" type="checkbox"/> Check Enclosed
<input checked="" type="checkbox"/> Return Receipt Postcard
<input checked="" type="checkbox"/> Response to Notice to File Missing Parts and Change of Small Entity Status Under 37 CFR 1.28(c)
<input type="checkbox"/> Assignment & Recordation Cover Sheet
<input checked="" type="checkbox"/> Declaration
<input checked="" type="checkbox"/> Power of Attorney
<input checked="" type="checkbox"/> Application Data Sheet
<input type="checkbox"/> Information Disclosure Statement & PTO-1449
<input type="checkbox"/> Copies of IDS Cited References
<input checked="" type="checkbox"/> Request for Corrected Filing Receipt
<input type="checkbox"/> Request for Correction of Recorded Assignment
<input type="checkbox"/> Amendment/Response: [] Page(s)
<input type="checkbox"/> After Final
<input type="checkbox"/> Status Request
<input type="checkbox"/> Revocation and Substitute Power of Attorney | <input type="checkbox"/> Issue Fee Transmittal
<input type="checkbox"/> Letter to Chief Draftsperson
<input type="checkbox"/> Formal Drawing(s):
[] Sheet(s) of Figure(s) []
<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Copy of Filing Receipt
<input checked="" type="checkbox"/> Copy of Application Data Sheet
<input checked="" type="checkbox"/> Copy of Notice to File Missing Parts
<input type="checkbox"/>
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<input type="checkbox"/> |
|--|---|

REMARKS:

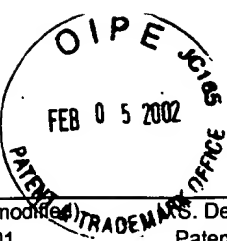
SIGNATURE OF ATTORNEY OR AGENT

Signature:		
Attorney/Reg. No.:	Geoffrey W. Lin, Reg. No. 46,874	Dated: 11/5/01

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

Signature:		
Typed or Printed Name:	Geoffrey W. Lin	Dated: 11/5/01
Express Mail Mailing Number (optional):		

COPY OF PAPERS
ORIGINALLY FILEDPTO/SB/17 (10-01)(modified)
OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified) U.S. Department of Commerce
Rev. 10/2001 Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) =

(\$ 625.00)

Complete if Known

Application Number	09/888,212
Filing Date	June 22, 2001
First Named Inventor	Kwok Hung Si
Group Art Unit	2182
Examiner Name	Not Yet Known
Attorney Docket Number	20880-05629

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.¹
- ☐ Applicant claims small entity status
See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:☒ Check ☐ Credit Card ☐ Other

FEE CALCULATION (fees effective 10/01/2001)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$740	201/\$370	Utility Filing	
106/\$330	206/\$165	Design Filing	
108/\$740	208/\$370	Reissue	
114/\$160	214/\$80	Provisional Filing	
SUBTOTAL (1)			(\$).00

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$84	202/\$42	Independent claims in excess of 3
104/\$280	204/\$140	Multiple dependent claim
109/\$84	209/\$42	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	130
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	
147/\$2,520	147/\$2,520	For filing a request for reexamination	
115/\$110	215/\$55	Extension for response within first month ¹	110
116/\$400	216/\$200	Extension for response within second month ¹	
117/\$920	217/\$460	Extension for response within third month ¹	
118/\$1,440	218/\$720	Extension for response within fourth month ¹	
128/\$1,960	228/\$980	Extension for response within fifth month ¹	
119/\$320	219/\$160	Notice of Appeal	
141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application	
142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)	
143/\$460	243/\$230	Design Issue Fee	
122/\$130	122/\$130	Petitions to the Commissioner	
126/\$180	126/\$180	Submission of Information Disclosure Statement	
179/\$740	279/\$370	Request for Continued Examination (RCE)	
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	
146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))	
149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify): Difference in Filing Fee from Small to Large Entity			385
Other fee (specify):			
SUBTOTAL (3)			(\$ 625

(Col. 1)		(Col. 2)		(Col. 3)		Fee	Fee Due
For	No. of Existing Claims	Highest No. Previously Paid For		Extra**			
TOTAL		minus* 20 or 0	=		x		
INDEP		minus* 3 or 0	=		x		
[] First presentation of multiple dependent claim							

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) (\$).00

SUBMITTED BY

Typed or Printed Name Geoffrey W. Lin

Signature

Complete (if applicable)

Reg. Number 46,874

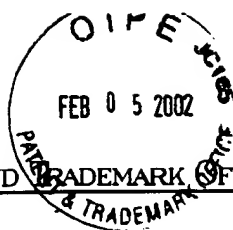
Date

11/5/01

¹ Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



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UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/888,212	06/22/2001	Kwok Hung Si	20880-05629

CONFIRMATION NO. 8404

00758
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO, CA 94306

FORMALITIES LETTER



OC00000006457291

Date Mailed: 08/22/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

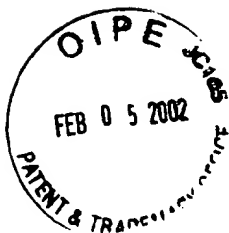
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

Assignment date: 02/07/2002 6054902
06/28/2001 RWOLGER 00000067 09888212
01 FD:201 -100.00 OF

02/07/2002 6054902 00000097 09888212

02 FD:100 100.00 OF
02 FD:100 100.00 OF



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PATENT

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANT(S): Kwok Hung Si and Tibet Mimaroglu
APPLICATION NO.: 09/888,212
FILING DATE: June 22, 2001
TITLE: Universal Serializer/Deserializer
EXAMINER: Not Yet Known
GROUP ART UNIT: 2182
ATTY. DKT. NO.: 20880-05629

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: November 15, 2001

By: [Signature]
Geoffrey W. Lin, Reg. No.: 46,874

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION AND
CHANGE OF SMALL ENTITY STATUS UNDER 37 CFR 1.28(c)**

SIR:

Responsive to the Notice to File Missing Parts dated August 22, 2001 received in the above-identified patent application,

☒ Enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☒ an original, signed Power of Attorney;
- ☒ an Application Data Sheet;
- ☒ payment in the amount of \$240.00 for the

08/17/2002 BREVEGAL 0000097 09888212

1 01:15

110.00 09

- ☐ application filing fee;
- ☐ fee for additional claims; and
- ☒ missing parts surcharge (\$130.00) and one month extension of time (\$110.00).

- ☒ Applicants revoke their claim to small entity status under 37 CFR 1.28 (c) and submit a fee of \$385.00 to cover the additional amount due for filing an application as a large entity. Applicants' prior claim to small entity was made in good faith.

Respectfully submitted,
KWOK HUNG SI & TIBET MIMAROGLU

Dated: November 5, 2001

By: 
Geoffrey W. Lin, Reg. No.: 46,874
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (650) 858-7163
Fax.: (650) 494-1417



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Receipt \$4


IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Kwok Hung Si and Tibet Mimaroglu
APPLICATION NO.: 09/888,212
FILING DATE: June 22, 2001
TITLE: Universal Serializer/Deserializer
EXAMINER: Not Yet Known
GROUP ART UNIT: 2182
ATTY. DKT. NO.: 20880-05629

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Office of Initial Patent Examination, Customer Service Center, Washington, D.C. 20231, on the date shown below:

Dated: November 5, 2001

By: 
Geoffrey W. Lin, Reg. No.: 46,874

COMMISSIONER FOR PATENTS
OFFICE OF INITIAL PATENT EXAMINATION
CUSTOMER SERVICE CENTER
WASHINGTON, DC. 20231

REQUEST FOR CORRECTED FILING RECEIPT

SIR:

Enclosed is a copy of the Official Filing Receipt. It contains the following error:

1. The above-referenced application claims the benefit of 60/250,781 filed on December 1, 2000, as evidenced by the Application Data Sheet, a copy of which is enclosed. This Filing Receipt should be corrected to indicate this missing Continuing Data.

Please issue a corrected Filing Receipt rectifying this error.

Respectfully submitted,

KWOK HUNG SI & TIBET MIMAROGLU

Dated: November 5, 2001

By: 

Geoffrey W. Lin, Reg. No.: 46,874

Fenwick & West LLP

Two Palo Alto Square

Palo Alto, CA 94306

Tel.: (650) 858-7163

Fax.: (650) 494-1417

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COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/888,212	06/22/2001	2182	355	20880-05629	7	1	1

CONFIRMATION NO. 8404

00758
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO, CA 94306**RECEIVED**

AUG 27 2001

FENWICK & WEST LLP

FILING RECEIPT



OC00000006457290

Date Mailed: 08/22/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)Kwok Hung Si, Sunnyvale, CA;
Tibet Mimaroglu, Sunnyvale, CA;**Domestic Priority data as claimed by applicant**THIS APPLN CLAIMS BENEFIT OF 60/213,745 06/22/2000
AND CLAIMS BENEFIT OF 60/251,468 12/04/2000*and claims benefit of 60/250,731 12/14/2000***Foreign Applications**

If Required, Foreign Filing License Granted 08/15/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ******Title**

Universal serializer/deserializer

Preliminary Class

710

Data entry by : SOUNANNARATH, LINDA

Team : OIPE

Date: 08/22/2001

